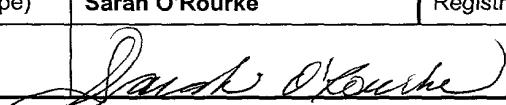


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J1048

11-27-01

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UTILITY PATENT APPLICATION TRANSMITTAL (Only for new nonprovisional applications under 37 CFR 1.53(b))		Attorney Docket No.	HAU199 CON	
		First Inventor	David T. Bailey	
		Title	High Purity Beta-Carotene and Process for Obtaining Same	
		Express Mail Label No.	EL791520170US	
APPLICATION ELEMENTS		Assistant Commissioner for Patents Box Patent Application Washington, DC 20231		
1. <input checked="" type="checkbox"/> Fee Transmittal Form (submit an original and a duplicate for fee processing) 2. <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27 3. <input checked="" type="checkbox"/> Specification total pages: 23 (preferred Arrangement set forth below) - Descriptive title of the Invention - Cross References to Related Applications - Statement Regarding Fed sponsored R&D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings - Detailed Description - Claim(s) - Abstract of the Disclosure 4. <input checked="" type="checkbox"/> Drawing(s) [total sheets: 4] 5. <input checked="" type="checkbox"/> Oath or Declaration total sheets: 2] a. <input type="checkbox"/> Newly executed (original or copy) b. <input checked="" type="checkbox"/> Copy from prior appl. (37 C.F.R. § 1.63(d)) i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).				
6. <input type="checkbox"/> Application Data Sheet. (See 37 CFR 1.76) 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) 8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form b. <input type="checkbox"/> Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies				
ACCOMPANYING APPLICATION PARTS 9. <input type="checkbox"/> Assignment Papers (coversheet/document(s)) 10. <input type="checkbox"/> 37 CFR. 3.73(b) Statement <input type="checkbox"/> Power of (when there is an assignee) Attorney 11. <input type="checkbox"/> English Translation 12. <input type="checkbox"/> Document <input type="checkbox"/> Copies of 13. <input type="checkbox"/> IDS & Form 1449 IDS Citations Preliminary Amendment 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) 15. <input type="checkbox"/> Certified Copy of Priority Document(s) 16. <input type="checkbox"/> Request & Certification under 35 USC 122(b)(2)(B)(i) 17. <input checked="" type="checkbox"/> Other: Certificate of Express Mailing				
18. If a CONTINUING APPLICATION , check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76: <input checked="" type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No.: <u>08/864,103</u> Prior application information: Examiner: <u>W. Griffin</u> Group/Art Unit: <u>1764</u>				
FOR CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.				
19. CORRESPONDENCE ADDRESS				
<input type="checkbox"/> Customer Number or Bar Code Label		or <input checked="" type="checkbox"/> Correspondence address below		
Name	Steven C. Petersen			
	Hogan & Hartson, LLP			
Address	1200 17 th Street Suite 1500			
City	Denver	State	CO	ZIP
Country	US	Telephone	(720) 406-5315	Fax
Name (Print/Type)	Sarah O'Rourke		Registration No.	41,226
(Signature)			Date	Nov. 14, 2001

OCT 16 2001
PATENT & TRADEMARK OFFICE
U.S. PATENT AND TRADEMARK OFFICE
U.S. DEPARTMENT OF COMMERCE

FEE TRANSMITTAL for FY 2002

		Complete if Known	
		Application Number	
		Filing Date	
		First Named Inventor	David Bailey
		Examiner Name	
		Group / Art Unit	
		Attorney Docket No.	HAU199 CON
TOTAL AMOUNT OF PAYMENT (\$)		(\$920.00)	

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)																																																																																																																																																																																													
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account Number 50-1123 Deposit Account Name Hogan & Hartson L.L.P. <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR § 1.16 and 1.17 <input type="checkbox"/> Applicant claims small entity status. <small>See 37 CFR 1.27</small>		3. ADDITIONAL FEES <table border="1"> <thead> <tr> <th>Large Entity Fee (\$)</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>130</td><td>65</td><td>Surcharge – late filing fee or oath</td><td></td></tr> <tr><td>50</td><td>25</td><td>Surcharge – late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>130</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>2,520</td><td>2,520</td><td>For filing a request for ex parte reexamination</td><td></td></tr> <tr><td>920*</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>1,840*</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>110</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>390</td><td>195</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>890</td><td>445</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>1,390</td><td>695</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>1,890</td><td>945</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>310</td><td>155</td><td>Notice of Appeal</td><td></td></tr> <tr><td>310</td><td>155</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>270</td><td>135</td><td>Request for oral hearing</td><td></td></tr> <tr><td>1,510</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>110</td><td>55</td><td>Petition to revive – unavoidable</td><td></td></tr> <tr><td>1,240</td><td>620</td><td>Petition to revive – unintentional</td><td></td></tr> <tr><td>1,240</td><td>620</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>440</td><td>220</td><td>Design issue fee</td><td></td></tr> <tr><td>600</td><td>300</td><td>Plant issue fee</td><td></td></tr> <tr><td>130</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>50</td><td>50</td><td>Processing fee under 37 CFR 1.17(q)</td><td></td></tr> <tr><td>180</td><td>180</td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>40</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>710</td><td>355</td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td></td></tr> <tr><td>710</td><td>355</td><td>For each additional invention to be examined (37 CFR § 1.129(b))</td><td></td></tr> <tr><td>710</td><td>355</td><td>Request for Continued Examination</td><td></td></tr> <tr><td>900</td><td>900</td><td>Request for expedited examination of a design application</td><td></td></tr> <tr><td colspan="2">Other fee (specify)</td><td colspan="2"></td></tr> <tr> <td colspan="2">SUBTOTAL (1) (\$370.00)</td> <td colspan="2">SUBTOTAL (3) (\$)</td> </tr> <tr> <td colspan="2">2. 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Repn. Ref: 12/07/2001 ENHILE1 0022321600
 DOA:501123 Name/Number:10001880
 FC: 704 \$10.00 CR

Registered Mail
Attorney Docket No. HAU199 CON
Client/Matter No. 81250.0040.001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

David Bailey, et al.

Serial No.: Not Yet Accorded

Filing date: Not Yet Accorded

For: High Purity Beta-Carotene and Process for
Obtaining Same

Group Art Unit: Not Yet Accorded

Examiner: Not Yet Accorded

CERTIFICATE OF MAILING BY EXPRESS MAIL

Box PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The undersigned hereby certifies that the following documents:

1. Utility Patent Application Transmittal Form;
2. Specification (23 pages);
3. Drawings (4 pages);
4. Copies of Declarations from U.S. Serial No. 08/864,103;
5. Fee Transmittal Form (in duplicate);
6. Check in the amount of \$920;
7. Certificate of Mailing by Express mail; and
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relating to the above application, were deposited as "Express Mail", Mailing Label No. EL791520170US, with the United States Postal Service, addressed to Box PATENT APPLICATION, The Assistant Commissioner for Patents, Washington, D.C., 20231. The above listed documents were presented to the U.S. Postal Service on November 16, 2001, and accepted on same date. On November 19, 2001, the above documents in the original Express envelope were returned with a statement of "Temporary Suspension (Express Mail) due to Heightened Security".

The undersigned hereby certifies that the enclosed, unopened, postmarked Express Mail Envelope contains the documents listed above, and is being deposited as "Registered Mail", with the United States Postal Service, addressed to Box FILING DATE, The Assistant Commissioner for Patents, 2900 Crystal Drive, Arlington, VA 22202-3513 on November 19, 2001.

All statements made therein of the party's own knowledge are true, all statements made therein on information and belief are believed to be true, and all statements made therein are made with the knowledge that whoever, in any matter within the jurisdiction of the Patent and Trademark Office, knowingly and willfully falsifies, conceals, or covers up by any trick, scheme, or device a material fact, or makes any false, fictitious or fraudulent statements or representations, or makes or uses any false writing or document knowing the same to contain any false, fictitious or fraudulent statement or entry, shall be subject

*Receipt date granted
is 11/16/01.
J. Chang
from PLA*

to the penalties set forth under 18 U.S.C. 1001, and that violations of this paragraph may jeopardize the validity of the application or document, or the validity or enforceability of any patent, trademark registration, or certificate resulting therefrom.

Date November 19, 2001

November 19, 2001

Date

Mailer

Sarah O'Rourke
Sarah O'Rourke

Sarah O'Rourke, Reg. No. 41,226
HOGAN & HARTSON LLP
1200 17th Street, Suite 1500
Denver, Colorado 80202
(720) 406-5385 Tel
(720) 406-5301 Fax

TOP SECRET - ATTACHED

EXPRESS MAIL NO. EL791520170US
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November 16, 2001

Date

Sarah O'Rourke

Mailer

November 16, 2001

Date

Sarah O'Rourke

Sarah O'Rourke, Reg. No. 41,226

HOGAN & HARTSON LLP

1200 17th Street, Suite 1500

Denver, Colorado 80202

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